



DOCKET NO.: 11252-005

*Sector*  
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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of:  
Goldman, Sachs

Serial No.: 09/841,388

Group No.: 2163

Filed: April 24, 2001

Examiner: Not Assigned

For: AUTOMATED SECURITIES TRADE EXECUTION SYSTEM AND  
METHOD

I, Vanessa G. Hilton, certify that this correspondence is being deposited with the U.S. Postal Service as First Class Mail in an envelope addressed to the Commissioner of Patents and Trademarks, Washington, D.C., 20231 on August 3, 2001.

  
\_\_\_\_\_  
Vanessa G. Hilton

BOX MISSING PARTS  
Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION**

In response to the "Notice to File Missing Parts of Nonprovisional Application-Filing Date Granted" dated **June 19, 2001**, a response to which is due **August 19, 2001**, enclosed herewith for filing are the following items.

- (XX) A check in the amount of \$130.00 is attached to cover the surcharge. Please charge any deficiency or credit any overpayment to Deposit Account No. 501-555.
- (XX) Executed Declaration (2 sheets)
- (XX) Executed Power of Attorney (1 sheet)

(XX) Formal Drawings (7 sheets)

(XX) Assignment and recordation cover sheet

(XX) A check in the amount of \$40.00 is attached to cover the cost of recordation of the assignment. Please charge any deficiency or credit any overpayment to Deposit Account No. 501-555.

(XX) Copy of the Notice to File Missing Parts of Nonprovisional Application

(XX) Transmittal Letter

(XX) Return receipt postcard

Respectfully submitted,



\_\_\_\_\_  
Steven J. Gelman  
Registration No. 41,034

Date: August 3, 2001

Klehr, Harrison, Harvey, Branzburg &  
Ellers, LLP  
260 S. Broad Street  
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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/841,388	04/24/2001	Asif Adatia	11252-005

CONFIRMATION NO. 6352

FORMALITIES LETTER



\*OC000000006197416\*

Steven J. Gelman  
Klehr, Harrison, Harvey, Branzburg, & Ellers  
260 South Broad Street  
Philadelphia, PA 19102

Date Mailed: 06/19/2001

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

**FILED UNDER 37 CFR 1.53(b)**

***Filing Date Granted***

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:

- drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

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